

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Application No.:** 10/655,409  
**Date Filed:** September 4, 2003  
**Title:** COMPUTER-IMPLEMENTED SECURITIES TRADING SYSTEM  
**Applicants:** Timothy Keiser et al.  
**Group Art Unit:** 3691  
**Confirmation No.:** 6575  
**Examiner:** Clement Graham

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98, Applicant submits herewith patents, publications or other information that may be material to the examination of this application or that may be within a duty to disclose. Applicant respectfully requests that the Examiner fully consider the items listed on the enclosed PTO Form-1449, to independently ascertain their teaching, and to initial beside each reference listed. Please return a copy of the initialed citation form to the Applicants' undersigned representative

Applicants reserve the right to establish the patentability of any claim over any of the information provided. The filing of this Information Disclosure Statement shall not be construed as an admission or representation that (a) a thorough search has been made; (b) the information cited is, or is considered to be, material to patentability; (c) no additional material information exists; (d) Applicant agrees with any statement(s) in the information cited; (e) any reference is prior art; (f) any reference has been reviewed; (g) any reference is analogous art; (h) the listed publication date of any reference is the date on which the reference was actually first published; (i) the information cited is enabling or otherwise sufficient for the teachings purportedly proffered thereby.

The Examiner is specifically requested not to rely solely on the information submitted by Applicants in this Information Disclosure Statement or in other documents submitted by Applicants.

It is understood that the Examiner will consider information that has been previously considered by the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120 (other than an international application that designated the U.S.), as required by MPEP § 609.02.

**FEES AND/OR CERTIFICATIONS****I. IDS SUBMITTED AFTER FINAL OFFICE ACTION**

- ☒ This Information Disclosure Statement (“IDS”) is being filed at a time when prosecution is closed or a nominally-final Office Action has been mailed. In the event prosecution is reopened on the filing of a request for continued examination, entry of this IDS is proper pursuant to 37 C.F.R. § 1.97(b)(4), and no fee is due. In the event that prosecution is reopened because of reconsideration by the PTO (e.g., withdrawal of finality of rejection, or reconsideration, vacatur or reversal of any rejection, or for any other reason), entry of this IDS is proper pursuant to 37 C.F.R. § 1.97(c)(2). Upon such entry, please charge the fee due under C.F.R. § 1.17(p) to Deposit Account No. 50-3938.

Applicant herein authorizes the Commissioner to charge any fees specified above to Deposit Account No. 50-3938.

It is not believed that any additional fees are required beyond those that may otherwise be provided for in this paper or documents accompanying this paper. However, if additional fees are necessary to prevent abandonment of this application, then any fees required therefor are hereby authorized to be charged to Deposit Account No. 50-3938.

Respectfully submitted,

Dated: August 31, 2010

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